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The contents are identical to the IGM  
issued on December 4, 1990

IG-9130

OIG OPERATIONAL MATTERS

Complaints Against OIG Personnel

CHANGE 1

This directive revises and updates policies and procedures for handling complaints against Office of Inspector General (OIG) personnel. It requires that all complaints of misconduct and violations of law or regulation involving OIG employees be reported promptly to the Director, Quality Assurance and Internal Affairs Staff to assure that unfavorable allegations are resolved as quickly as possible.

In addition, a provision has been added alerting all OIG employees that they have an affirmative obligation to promptly report any instances of wrongdoing by other OIG employees, and that failure to do so could result in disciplinary action against the non-reporting employee.

Changes are highlighted by asterisks and hyphens (\*-.....-\*).

MATERIAL FORWARDED: IG-9130, dated December 1990.

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LEON SNEAD  
Inspector General

## OIG OPERATIONAL MATTERS

## Complaints Against Personnel

Abbreviations used in this manual section are explained in Exhibit A.

- A. BACKGROUND. The sensitive nature of the OIG mission requires the highest standards of performance and conduct by OIG employees. Our personnel are hired with those standards in mind so very few incidents of employee violations of law or regulations are expected. However, unfavorable allegations and complaints involving OIG employees do occur and must be resolved promptly to assure the credibility and integrity of the organization and its employees.
- B. POLICY. Complaints of misconduct and violations of laws or regulations by OIG employees shall be reported as soon as possible to the \*-Director, Quality Assurance and Internal Affairs Staff or Deputy Inspector General -\* for appropriate action, as prescribed by this directive.
- C. PROCEDURES
  - 1. IG -- Provides policy and procedural guidance for handling c complaints against OIG personnel.
  - \*-2. Deputy IG - Provide overall supervision for the QA&IA program and ensure that followup and corrective actions are promptly taken.-\*
  - 3.\*-D/QA&IAS-\*
    - a. Receive and evaluate complaints against OIG employees to determine the need for an investigation. \*-Promptly inform the Deputy IG of all complaints against employees.-\*
    - b. Refer to the appropriate AIG for administrative action those complaints not requiring investigation.
    - c. Refer complaints which come under the jurisdiction of other Federal agencies, such as the Federal Bureau of Investigation, U.S. Secret Service, and General Services Administration, to those agencies for investigation.

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(D/QA&IAS – continued)

d. Direct subordinates in the conduct of investigations where necessary to substantiate or disprove complaints or allegations of misconduct and violations of laws and regulations by OIG employees.

e. Request the \*-AIG/I-\* to furnish personnel to conduct or assist in investigations when needed.

f. Coordinate each investigation with the U.S. Attorney/Department of Justice, as may be appropriate, when criminal information is developed.

g.\*-Determine and assure proper distribution of each investigative report.-  
\* Materials should be hand-carried from office to office and transmitted by mail in two sealed envelopes, one inside the other, with the inner envelope prominently marked “TO BE OPENED BY ADDRESSEE ONLY.”

h.\*-Sign correspondence and investigative reports -\* regarding complaints and internal investigations.

i. Instruct the special agent performing the investigation not to enter the subject's name on the case control card nor index the subject's name in regional files.

4. AIG  
RIG  
\*-D/FM&ADPAO-\*

a. Refer promptly \*- (within 5 work days) -\* to the \*-D/QA&IAS -\* in writing, with a copy to the \*-Deputy IG, -\* any complaint of misconduct or violations of law or regulation by an OIG employee. Include a recommendation as to the need for investigation of alternative action.

b. Notify the \*-Deputy IG-\* directly, in person or by telephone, when there is the probability that a complaint will have Secretarial, Congressional, or news media interest.

c. Detail personnel to conduct or assist with internal investigations upon request by \*-DA/QA&IAS.-\*

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(AIG, RIG, etc. – cont.)

\*-d. Review completed investigative reports submitted by the D/QA&IAS and forward to the appropriate manager/supervisor for corrective action. Notify the D/QA&IAS when appropriate corrective action has been taken.-\*

\*-e. Refer complaints that do not result in a formal investigation to the appropriate manager/supervisor for administrative action.-\*

5. \*-OIG Manager/ Supervisors (Action Officials)-\*

\*-a. Take appropriate corrective action in response to internal investigative reports concerning the activities of employees under your supervision. Document the action taken and forward documentation to the official responsible for responding to the D/QA&IAS on the report. -\*

b. Handle administratively any complaint regarding a subordinate employee that does not result in a formal investigation. In each case, prepare an original and one copy of a memorandum describing the deficiency and the remedial action taken. File the original in the subject's \*- Supervisor's Folder-\* and send a copy to the \*-D/QA&IAS.-\*

6. \*-D/RMD-\*

\*-a. Provide technical personnel assistance to OIG officials who must evaluate reports of investigation involving OIG personnel, and propose/decide corrective actions. -\*

b. Process any corrective actions, which may include adverse actions, letters of caution, etc., \*-in accordance with agency and Office of Personnel Management directives. -\*

7. All OIG Employees

a. Obtain all available details of allegations from the complainant, but make no further inquiries. (Internal investigations involving OIG employees will be conducted only under the direction of the \*-D/QA&IAS.-\*)

b. Report complaint information \*-through official channels, -\* without delay, to the appropriate office head. \*-Reports may be made directly to the D/QA&IAS if an employee has reason to believe that time is of the essence, or

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(AIG, RIG, etc. – cont.)

that going through channels will in some way impair getting the information to the D/QA&IAS.-\*

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c. Safeguard complaint and investigative information so access is limited to those employees who have an official need to know. All materials concerning possible misconduct by an OIG employee will be afforded maximum security to avoid unwarranted disclosure. \*-The identity of an employee complainant shall not be disclosed without the consent of the complainant unless the Inspector General determines such disclosure is unavoidable during the course of the investigation.-\*

\*-d. An employee, having knowledge of wrongdoing by another employee should promptly report the matter to the appropriate office head. An employee who conceals and does not as soon as possible make known the same to the appropriate office head, shall be subject to disciplinary action, up to and including dismissal.

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Exhibit A  
of IG-9130

List of Abbreviations

OIG	- Office of Inspector General
IG	- Inspector General
AIG	- Assistant Inspector General
AIG/I	- Assistant Inspector General/Investigations
D/FM&ADPAO	- Director, Financial Management & ADP Audit Operations
D/QA&IAS	- Director, Quality Assurance and Internal Affairs Staff
D/RMD	- Director, Resources Management Division
RIG	- Regional Inspector General